

## EMPLOYEE SAFETY AND SECURITY CONCERNS PROGRAM

Ames Laboratory seeks to promptly address employee concerns about environment, safety, health and security issues in the workplace. This procedure applies to all Ames Laboratory employees, subcontractors and visitors.

### 1.0 APPROVAL RECORD

- Reviewed by: Hiliary Burns, Document Control Coordinator
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- Approved by: Cynthia Jenks, Assistant Director of Scientific Planning
- Approved by: Duane Johnson, Chief Research Officer
- Approved by: Thomas Lograsso, Deputy Director
- Approved by: Adam Schwartz, Director

The official approval record for this document is maintained in the Training and Documents Office.

### 2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

### 3.0 PURPOSE AND SCOPE

Ames Laboratory seeks to promptly address employee concerns about environment, safety, health, and security issues in the workplace. The Laboratory fosters a culture in which employees are encouraged to bring concerns to the attention of their immediate supervisor. Resolution of concerns should occur at the lowest management level possible. However, if the issue cannot be resolved at this level, the employee has the responsibility to precede within his/her management chain or to report the problem using an alternative mechanism described in this procedure.

This procedure applies to all Ames Laboratory employees, subcontractors and visitors.

### 4.0 ROLES AND RESPONSIBILITIES

- 4.1. LABORATORY DIRECTOR** – The Laboratory Director is ultimately responsible for ensuring that employees are provided a safe and healthy work place; the Director creates a working environment that encourages employee reporting of unsafe work practices and conditions by supporting initiatives such as the Employee Safety and Security Concerns Program.
- 4.2. DIVISION and INSTITUTE DIRECTORS/DEPARTMENT and PROGRAM MANAGERS** – Division and Institute Directors/Department Managers shall be aware of the Employee Safety and Security Concerns Program, encourage participation by employees and act promptly on concerns and issues raised.
- 4.3. GROUP LEADERS/SUPERVISORS** – The Group Leaders and Supervisors shall be aware of the Employee Safety and Security Concerns Program, encourage participation by program/administrative office employees, act promptly on concerns and issues

raised, and notify ESH&A for tracking and trending.

#### **4.4. SAFETY COORDINATORS/REPRESENTATIVES – Safety**

Coordinators/Representatives shall be aware of the Employee Safety and Security Concerns Program and act promptly on concerns and issues raised via interactions with the Division and Institute Directors/Department Manager, Group, ESH&A and/or the employee.

#### **4.5. EMPLOYEES – Ames Laboratory employees shall participate in the Laboratory's environment, safety and health program by performing work in accordance with established practices and procedures; employees shall interact with supervisory personnel, Safety Coordinators/Representatives and ESH&A personnel on concerns and issues that relate to the Laboratory's environment, safety and health program.**

#### **4.6. ENVIRONMENT, SAFETY, HEALTH and ASSURANCE – ESH&A shall communicate the principles of the Employee Safety and Security Concerns Program to all employees as well as record, track, and trend safety and security concerns. ESH&A will also evaluate all concerns for possible event categorization and event reporting.**

### **5.0 PROGRAM ELEMENTS**

#### **5.1. Employee Training**

All employees receive an introduction to the Employee Safety and Security Concerns Program during General Employee Training (GET) AL-001. During this training it is explained that all employees are encouraged to report any concerns they have related to workplace health, safety or protection of the environment and security. Mechanisms that may be used by employees to report concerns are explained. Employees are reminded of the Employee Safety and Security Concerns Program through the Annual Refresher Training AL-241.

#### **5.2. Program Announcements**

Attachment A is a copy of the bulletin board announcement describing the Employee Safety and Security Concerns Program that is posted throughout Ames Laboratory. This announcement is also included as a handout in the packet of information received by all employees during GET.

#### **5.3. Concern Investigation Procedure**

ESH&A shall document employee concerns utilizing the Incident and Concern Reporting Form #10200.088 (Appendix B). An ESH&A Specialist (Point-Of-Contact) is appointed to evaluate and address each concern. Any supporting documentation will be attached to the form for future reference. Employees upon request may also fill out these forms. Instructions for filling out the forms are as follows:

Date	Date of occurrence/concern.
Time	Time of concern or when report is filed.
Name	Name of person who identified the concern.
Bldg./Room	Fill in building and room where concern is located.
Phone	Fill in your phone number.
ESH&A Point-of-Contact	Name of ESH&A person who received information or was assigned to follow up on issue.
Nature of Incident/Concern	Briefly describe the nature of the concern including time of discovery, any actions taken upon learning of the concerns and previous reporting. (Form forwarded to Safety Specialist for processing / classification).
Root Causal Determination	Upon completion of the investigation of concerns, a root causal determination may be completed (graded approach) depending on significance and complexity of concern. Some concerns may be easily understood, while others may require considerable in-depth analysis.
Comments	Additional comments pertinent to the concern can be added.
Area of Concern	The concern will be classified in one of the major topical areas listed.
Number: XX - XXX	Each concern will be given a unique number that will correspond to the year and be assigned sequentially (i.e., 05-001, 05-002, etc.)
Acknowledge date	Number of days from point of notification to ESH&A notification of the affected party.
Address date	Number of days from point of notification to concern being formally addressed by ESH&A or other Laboratory entity.
NOTE	Each Concern is forwarded to ESH&A Manager for review/comment after initial processing.

## 6.0 POST PERFORMANCE ACTIVITY

Employee Safety and Security Concerns are tracked in the Ames Laboratory Corrective Action Tracking System. Annually a trend analysis is performed to determine any patterns of concern and communicated to Executive Council, ISU Environment Safety and Health, and the Ames Site Office.

## 7.0 ATTACHMENTS

Attachment A - Poster, Differing Professionals Opinions (DPOs), Office If Inspector General, OSHA- It's The Law, Employee Safety and Security Concerns Program, and ISU Ethics Hotline (posted throughout the Laboratory and discussed in General Employee Training (GET)

Attachment B - Form: Incident & Concern Reporting Form #10200.088

## Attachment A - Poster

The Ames Laboratory is committed to ensuring that Differing Professional Opinions (DPOs) can be raised without fear of retaliation. First seek resolution of the issue through available processes (e.g., discussions with first-line supervisors or through the Ames Laboratory *Employee Safety & Security Concerns Program*). Employees have the right to report concerns that have not been resolved through the DOE DPO process (DOE O 442.2). The point of contact is: [kelli.markham@science.doe.gov](mailto:kelli.markham@science.doe.gov), Kelli Markham, Director, Environment, Safety and Health Division, Office of Science, U. S. Department of Energy, 19901 Germantown Road, Germantown, MD 20874, Phone: 301-903-6800.

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**Effective Date** 12/15/15  
**Review Date** 12/15/18

**Ames Laboratory employees have an additional mechanism for reporting concerns through the ISU Compliance and Ethics Hotline. ISU provides this hotline for employees, students and constituents to report issues, in good faith, regarding compliance with laws, regulations, and policies.**

**"Report issues by phone at (515)294-7119 or online at <http://www.policy.iastate.edu/ethics-hotline/online-report>.**

**U.S. Department of Energy**  
**Office of Inspector General**  
**HOTLINE**

**Fraud, Waste, or Abuse**  
by a DOE employee, contractor, or grant recipient  
involving DOE programs, Recovery Act monies  
or if you have a Recovery Act whistleblower  
complaint

**Contact the HOTLINE if you suspect**

**1-800-541-1825 or 202-586-4073**

**Call**  
ignoline@hq.doe.gov  
**Email**  
Or write  
U.S. Department of Energy  
Attn: Office of Inspector General Hotline  
1000 Independence Avenue, S.W.  
Washington, DC 20585



**You Have a Right to a Safe and Healthful Workplace**

**IT'S THE LAW!**

- You have the right to notify your employer or the local Department of Energy (DOE) office about workplace hazards, without reprisal. You may ask that your name not be used.
- You have the right to participate in the activities referenced in 10 CFR 851 Worker Safety and Health Programs. On official time.
- You have the right to access copies of DOE worker protection publications, the worker safety and health program for your workplace, and the standards, criteria, and procedures that apply to your workplace.
- You have the right to observe monitoring or measuring of hazardous agents, to receive the results of your own monitoring, and be notified when monitoring results indicate an overexposure.
- You have the right to have a representative accompany the DOE's Director for Enforcement or the Director's authorized personnel during the inspection of your workplace.
- You have the right to request and receive results of inspections and accident investigations. The request for an inspection can be submitted anonymously in writing to HSS.
- You have the right to decline to perform an assigned task because of your reasonable belief that, under the circumstances, the task poses an imminent risk of death or serious physical harm to you, coupled with your reasonable belief that there is sufficient time to seek effective redress through the normal hazard reporting and abatement procedures.
- Your employer must post this notice in your workplace.

The 10 CFR 851 requires DOE contractors to provide their workers with a safe and healthful workplace. To obtain more information about these requirements and your rights, seek advice or assistance. For more information contact your supervisor, your local DOE office, or the DOE Office of Health and Safety and Emergency Response (HSE) at the local DOE office or contact the DOE Office of Health and Safety at the local DOE office at 800-701-9566 (phone number and/or email address).

2M50 Concrete Manager, 9800 S. Cass Ave., Argonne, IL 60439 8707

**DO YOU HAVE A CONCERN REGARDING WORKPLACE ENVIRONMENT, SAFETY & HEALTH PROTECTION OR SITE SECURITY?**


*Do you have suggestions that could improve the Laboratory's Environment Safety and Health program?*

*Are you concerned about a site security practice or condition?*

**WE'D LIKE TO HEAR FROM YOU!!**

Ames Laboratory requires employee participation in environment, safety, health and security programs. Responsible reporting of unsafe work conditions and other concerns by employees is a vital part of Ames Laboratory management providing a safe place to work. Report your concerns by doing any of the following:

- Contact your supervisor.
- Contact the ESH&A office (G40 TANSF, 294-2153) and speak to any ESH&A Specialist. Confidentiality will be maintained upon request.
- Contact ESH&A by email at [safety@ameslab.gov](mailto:safety@ameslab.gov) or [security@ameslab.gov](mailto:security@ameslab.gov)

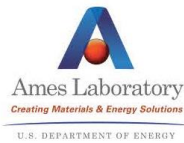


**THE Ames Laboratory**  
Creating Materials & Energy Solutions  
U.S. DEPARTMENT OF ENERGY

**EMPLOYEE SAFETY & SECURITY CONCERNS PROGRAM**

Revised 10/20/16

## Attachment B



### INCIDENT & CONCERN REPORTING FORM

**Date:** \_\_\_\_\_ **Time:** \_\_\_\_\_

- ☐ Per employee notification to ESH&A (Attach any documentation).  
☐ Per Occupational Medicine Report (Attach documentation).  
☐ Anonymous

**Name:** \_\_\_\_\_ **Building/Room:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**ESH&A Point-of-Contact:** \_\_\_\_\_

**Nature of Incident / Concern** *(Include a discussion of investigation and resolution of event):*

*(Forward to Industrial Safety Specialist at G40 TASf)*

**Comments:**

Area of Concern: [ ] Electrical Safety [ ] Fire Safety [ ] Egress Path [ ] Industrial Hygiene  
 [ ] Health Physics [ ] Cylinders/gas [ ] General Safety [ ] Waste Management  
 [ ] Environmental [ ] Hoisting/rigging [ ] Property Management [ ] Housekeeping  
 [ ] Other: \_\_\_\_\_

**Number:** \_\_\_\_\_ - \_\_\_\_\_ (e.g., 01- 001, 01-002, 01-003, etc.)

**Acknowledge date:** \_\_\_\_\_ (# day's \_\_\_\_\_) **Address Date:** \_\_\_\_\_ (# day's \_\_\_\_\_)

*Enter into CA5 Database & File in Employee Concerns Folder*

**ESH&A Manager Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Form 10200.088  
 Revision 4, Effective Date 8-1-15  
 ESH&A, 294-2153